

# Information Technology Planning Policy

for Washington State Government

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# ***Information Technology Planning Policy***

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## **Policy**

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### ***Purpose***

The purpose of this policy is to provide a framework for successful planning for information technology (IT) so that Washington State agencies:

1. Develop a link between agency program objectives, business plans, and technology efforts;
2. Implement the *State Strategic Information Technology Plan*; and
3. Provide a baseline for agency and state-level performance reporting.

This policy specifically addresses requirements for state and agency IT planning mandated in the Information Technology Act of 1992.

### ***Scope***

Formal documentation and submission of agency plans is required of agencies of the executive and judicial branches of state government that spend over \$250,000 annually on IT. This includes expenditures in human resources as well as IT resources defined in the next paragraph. In the case of institutions of higher education, provisions of this policy apply to business and administrative applications but do not apply to academic and research applications.

IT is defined as the equipment, software, services, and products used in storing, processing, transmitting, and displaying all forms of information. IT includes data processing, office automation, multi-media, and telecommunications.

The agency Information Technology Plan consists of two parts: the Strategic Plan and the Tactical Plan.

### ***Policy Statements***

It is the policy of the state of Washington that:

#### Agencies Shall Develop IT Plans

Agencies shall develop a strategic plan for the use of IT which incorporates an IT mission, goals, and objectives for the use of IT. This plan shall reflect a planning horizon of five (5) years from the date of submission (or for that timeframe for which the agency's business objectives are formally established).

#### Agencies Shall develop a Tactical Plan which lists IT projects

This plan shall reflect the projects for the biennium.

### Agencies Shall Document IT Plans

Agencies shall document their IT plans in accordance with RCW 43.105.170.

### Agencies Shall Maintain IT Plans

Agencies shall review, evaluate, and update their IT plans biennially or more frequently if appropriate. Agencies must update the plan whenever agency business or IT mission and goals undergo significant change. Such change may include modifications to: legislated responsibilities, critical service processes, computer hardware/software platforms, telecommunications networks, application systems, organization, or budget. Agency directors shall review and approve the updated plans.

### The Information Services Board will Approve IT Strategic Plans

Agency information technology Strategic Plans will be reviewed by the Department of Information Services (DIS) and forwarded with DIS' recommendation to the Information Services Board (ISB) for review and approval. The ISB may reject, require modification to, or approve the plans as required by RCW 43.105.170(2). Agency information technology Tactical Plans will be reviewed by DIS but do not require ISB approval.

## ***Submission Date***

Agencies must comply with this policy and related standards by these dates:

- The Agency IT Strategic Plan is due the last day of July in even numbered years.
- The Agency IT Tactical Plan is due the last day of August in odd numbered years.

## ***Agency IT Planning Process***

One purpose of this policy is to integrate agency IT planning with the biennial budget process.

Agencies should develop business objectives ***and supporting IT strategies*** during the biennial budgeting cycle. The agency strategic IT plan is due immediately following the budget cycle in July of even numbered years.

The tactical plan is due one year later following completion of the agency allotment report due to OFM. There should be a clear link between the projects and tactics listed in the tactical plan and the:

- Agency allotment report.
- Agency Strategic IT Plan.
- Strategic Information Technology Plan for the state of Washington.

## ***Maintenance***

Technological advances and changes in the business requirements of agencies will necessitate periodic revisions to the standards adopted under this policy. The Policy and Regulation Division (PRD) of DIS is responsible for routine maintenance of the standards to keep them current; only major policy changes require ISB approval.

## ***Statutory Authority***

RCW 43.105.170(1) "Each agency shall develop an agency strategic IT plan which establishes agency goals and objectives regarding the development and use of information technology . . ."

The "agency strategic IT plan" is referred to in this policy as the agency information technology plan.

## Standard

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### ***Information Technology (IT) Plans Standard***

The IT plans for an agency shall provide all applicable information required by this standard.

All state agencies spending over \$250,000 annually on computer, voice, data, and video telecommunications services must prepare IT plans. Educational institutions spending over \$250,000 annually on administrative applications of computer, voice, data, and video telecommunications services must also prepare plans.

Each agency is responsible and accountable for its own IT planning process. IT plans may contain references to another organization's business or strategic IT plan.

Agencies using external IT services shall coordinate with service providers as part of the planning process. Agencies providing IT services to other agencies shall coordinate with their user agencies as part of the planning process.

The IT plans are primarily for agency use. Agencies may adapt this standard to meet individual needs, but all applicable elements of the standard must be included in the plans. The amount of detail included in the plans should be commensurate with the scope and complexity of the agency's IT objectives.

The information provided in the agency's IT Strategic and Tactical Plans will provide the agency a baseline for the IT performance reports to be completed in future planning cycles.

Agencies shall review, evaluate, and update their IT plans biennially or more frequently if appropriate.

Agencies must update the plan whenever agency business or IT mission and goals undergo significant change. Such change may include modifications to: legislated responsibilities, critical service processes, computer hardware/software platforms, telecommunications networks, application systems, organization, or budget.

If the information required in this standard is available within the agency's business plan, the agency may submit the business plan in lieu of a separate IT plan. If this is done, include an introductory letter which identifies where in the business plan the requirements of this standard are addressed. The agency IT plans may be documented and submitted to DIS in multi-media, electronically, and/or paper format.

## **Strategic Plan Contents**

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### ***Executive Overview***

Briefly describe the major business challenges and how the agency plans to use IT to contribute to their achievement. Include the contributions the agency's initiatives will make to the state IT goals from the *State Strategic IT Plan*. Describe the planning process used and the parties included.

### ***Agency Program/Business Mission and Objectives***

Describe the mission of the agency. This is a statement of why the agency exists and its fundamental purpose. Also, briefly describe the primary program or service areas of the agency.

Describe the primary business objectives for the next five (5) years (or for that timeframe for which they are formally established). A five-year business planning horizon starts with the first day of the next biennium. This serves as the point of reference for IT strategies and tactics required in this plan.

### ***Information Technology (IT) Strategies***

Describe the agency's IT strategies to support the business mission, goals, and objectives. An IT strategy is a statement of direction, approach, and/or method as to how the agency will apply IT to achieve its business objectives. The strategies should be applicable to the business planning horizon.

Match the agency's IT strategies with the specific business objectives they support. Briefly describe how each strategy will contribute to the achievement of the business objective.

Describe how the agency's IT strategies support and conform to the implementation of the *State Strategic IT Plan*. Correlate the agency's strategies with the state goals and strategies articulated in the state plan.

Provide a description of those information technology initiatives for which the agency will request policy level budget authorization in the coming biennial budget cycle.

## **Tactical Plan Contents**

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### ***IT Projects***

Describe all IT projects which have an estimated development and implementation cost (not operations) of \$250,000 or more and which have approved by the agency to begin in or continue into the current biennium. A project or tactic is defined as an expenditure of resources to build and implement a product or service or the capability to provide a product or service. Examples of such activities involve software applications, IT technology, training, and planning. Include all IT projects meeting this threshold regardless of source of funds or funding category.

For each project description, include the following:

1. Project title
2. Project description
3. Business objective(s) and IT strategy(ies) this project supports
4. Project start and end dates (nearest quarter)
5. Total estimated development and implementation cost of the project
6. Total amount spent to date (if applicable)
7. Measurable outcomes (tangible benefits) based on the successful implementation of the project. This outcome should be expressed in terms of a quantifiable metric or benchmark. A benchmark is a measurable point from which to measure progress.

For intangible outcomes, state the value the agency and/or the agency's customer will receive upon implementation of the project.

### ***Information Technology Infrastructure, Policies, and Standards***

Document changes to the infrastructure that are required to implement the strategies and tactics of the agency strategic IT plan. Describe the agency's level of compliance and/or plans to comply with the approved standards in the Technical Reference Guide in of the *State Strategic IT Plan*. If the agency is not currently in compliance with these state standards, list the activities, timeframes, and major issues associated with achieving compliance.

This section may be provided as an appendix to the plan at the discretion of the agency.

### ***Information Technology Expenditures and Personnel***

The agency will provide an accounting of the information technology expenditures and personnel in a format provided by Department of Information Services, Policy and Regulation Division.